

ORIGINAL NEW APPLICATION



0000109235

BEFORE THE ARIZONA CORPORATION COMMISSION

COMMISSIONERS

KRISTIN K. MAYES, Chairman  
GARY PIERCE  
PAUL NEWMAN  
SANDRA D. KENNEDY  
BOB STUMP

In the matter of

UBS SECURITIES LLC AND UBS  
FINANCIAL SERVICES INC.,

Respondents.

DOCKET NO. S-20732A-10-0095

**FILING TO OPEN DOCKET**

The Securities Division of the Arizona Corporation Commission requests that a Docket be opened for the purpose of assigning a docket number to a proposed Order to Cease and Desist, Order for Administrative Penalties, and Consent to Same by the above-referenced respondents.

Respondents' addresses are:

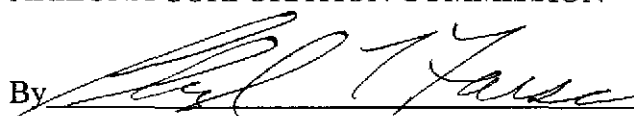
UBS Securities LLC  
677 Washington Boulevard  
Stamford, CT 06901

UBS Financial Services Inc.  
1200 Harbor Boulevard  
Weehawken, NJ 07086

Dated this 15th day of March 2010.

ARIZONA CORPORATION COMMISSION

By

  
Cheryl T. Farson

General Counsel for the Securities Division  
of the Arizona Corporation Commission

Arizona Corporation Commission  
**DOCKETED**

MAR 15 2010

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DOCKET CONTROL

SERVICE LIST FOR: UBS SECURITIES LLC AND UBS FINANCIAL SERVICES INC.

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UBS Financial Services Inc.  
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98 San Jacinto Blvd.  
Austin, TX 78701